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3-21-03

Our Docket No: 59036- 249736

Patent

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE



re Application of:

Scott et al.

Examiner: Not Yet Assigned

Application No: 09/955,394

Art Unit: 2161

Filed: September 17, 2001

For: Enhancing Utility And Diversifying  
Model Risk In A Portfolio Optimization  
Framework

RECEIVED  
MAR 18 2003  
GROUP 3600

INFORMATION DISCLOSURE STATEMENT

Assistant Commissioner for Patents  
Washington, D.C. 20231

Pursuant to 37 C.F.R. §§ 1.97 and 1.98, the references listed on the enclosed Form PTO-1449 are submitted for consideration by the Examiner in the examination of the above-identified patent application.

The full consideration of the references in their entirety by the Examiner is respectfully requested and encouraged. Also, it is respectfully requested that the references be entered into the record of the present application and that the Examiner place his or her initials in the appropriate area on the enclosed Form PTO-1449, thereby indicating the Examiner's consideration of each of the references.

The submission of the references listed on the Form PTO-1449 is for the purpose of providing a complete record and is not a concession that the references listed thereon are prior art to the invention claimed in the patent application. The right is expressly reserved to establish an invention date earlier than the above-identified filing date in order to remove any reference submitted herewith as prior art should it be deemed appropriate to do so.

Further, the submission of the references is not to be taken as a concession that any reference represents art that is relevant or analogous to the claimed invention. Accordingly, the right to argue that any reference is not properly within the scope of prior art relevant to an examination of the claims in the above-identified application is also expressly reserved.

FIRST CLASS CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage in an envelope addressed to the Assistant Commissioner for Patents, Washington, D. C. 20231 on.

March 7, 2003

(Date of Deposit)

Debbie Peloquin

(Typed or printed name of person mailing correspondence)

Debbie Peloquin

(Signature of person mailing correspondence)

Docket No.: 59036-249736

Application No.: 09/955,394

**The Information Disclosure Statement is being filed:**

- ☒ (a) within three months of the filing date of the patent application, (b) within three months of the date of entry into the national stage as set forth in 37 C.F.R. § 1.491 of the international application, or (c) before the mailing date of a first Office Action on the merits, or (d) before the mailing date of a First Office Action after the filing of a request for continued examination under § 1.114.
- ☐ **after** (a), (b), (c) or (d) above, but before the mailing date of a final action under 37 C.F.R. § 1.113 or a Notice of Allowance under 37 C.F.R. § 1.311, and includes:
- ☐ the Certification under 37 C.F.R. § 1.97(e) (see "Certification" below).
- ☐ the fee of \$180 set forth in 37 C.F.R. § 1.17(p) (see "Fees" below).
- ☐ **after** the mailing date of a final action under 37 C.F.R. § 1.113 or a Notice of Allowance under 37 C.F.R. § 1.311, and includes the Certification under 37 C.F.R. § 1.97(e) (see "Certification" below), a Petition requesting consideration of the Information Disclosure Statement (see "Petition" below), and the Petition Fee set forth in 37 C.F.R. § 1.17(i) (see "Fees" below).

**Copies Of The References**

- ☐ Copies of certain references listed on the enclosed Form PTO-1449 are enclosed herewith. Attached to each reference not in the English language is a concise explanation of the relevance pursuant to 37 C.F.R. § 1.98(a)(3).
- ☐ A copy of the foreign search report is enclosed herewith.
- ☒ All references listed on the enclosed Form PTO-1449 were previously identified in the parent application of the present application, and copies of the references were furnished at that time. Accordingly, additional copies of the references are not submitted herewith, so as not to burden the file with duplicate copies of references. The Examiner is respectfully requested to carefully review the references in accordance with the requirements set out in the Manual of Patent Examining Procedure. In accordance with 37 C.F.R. § 1.98(d), the details of the parent application(s) relied upon for an earlier filing date under 35 U.S.C. § 120 in which copies of the references were previously furnished are set out below:

U.S. APPLICATIONS		Status ( <i>check one</i> )		
U.S. APPLICATIONS	U.S. FILING DATE	PATENTED	PENDING	ABANDONED
1. 6,292,787	September 18, 2001	X		
2				
3.				

### Other Applications

- ☐ The Examiner's attention is directed to the following U.S. patent application(s):

U.S. APPLICATIONS		Status ( <i>check one</i> )		
U.S. APPLICATIONS	U.S. FILING DATE	PATENTED	PENDING	ABANDONED

### Certification

- ☐ The **undersigned attorney** hereby certifies that each item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign patent application not more than three months prior to the filing of the Information Disclosure Statement.
- ☐ The **undersigned attorney** hereby certifies that no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign patent application or, to the knowledge of the attorney signing after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of the Information Disclosure Statement.

### Petition

- ☐ The undersigned attorney hereby petitions the Commissioner to consider this Information Disclosure Statement and the references listed on the enclosed Form PTO-1449 in the examination of the above-identified patent application.

### Fees

- ☒ **No fee** is owed by the applicant(s).
- ☐ The **IDS Fee of \$180.00** under 37 C.F.R. § 1.17(p) is enclosed herewith.
- ☐ The **Petition Fee of \$130.00** set forth in 37 C.F.R. § 1.17(i) is enclosed herewith.

### Method Of Payment Of Fees

- ☐ Attached is a credit card form in the amount of \$ 180.00
- ☐ Charge Deposit Account No. 06-0029 in the amount of \$. (A duplicate copy of this communication is enclosed for that purpose.)

### Authorization To Charge Additional Fees

- ☒ If any additional fees are owed in connection with this communication, please charge Deposit Account No. 06-0029. (A duplicate copy of this communication is enclosed for that purpose.)

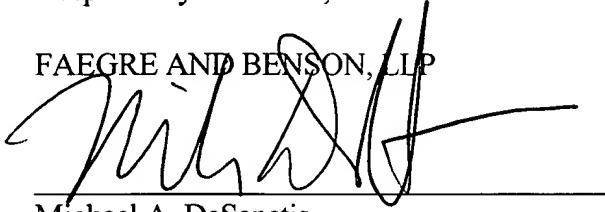
### Instructions As To Overpayment

- ☒ Credit Account No. 06-0029.  
☐ Refund

Respectfully submitted,

FAEGRE AND BENSON, LLP

Date: 3/4/03

  
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Form PTO-1449 U.S. Department of Commerce  
Patent and Trademark Office

Atty. Docket No.

Serial No.

59036-249736

09/955,394

Applicant

Scott et al.

Filing Date

September 17, 2001

Group

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INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT

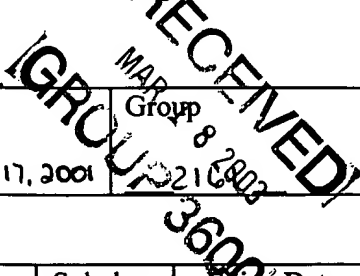
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	5,101,353	03/31/92	Lupien et al	705	37	05/31/89
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	5,222,019	06/22/93	Yoshino et al	705	36	10/03/91
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	5,563,783	10/08/96	Stolfo et al	705	8	04/0/495
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	5,812,987	09/22/98	Luskin et al	705	36	03/13/95
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EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

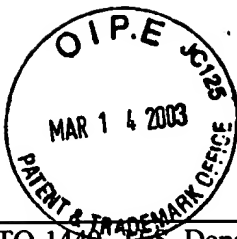




Form PTO-1449 U.S. Department of Commerce Patent and Trademark Office  INFORMATION DISCLOSURE STATEMENT BY APPLICANT				Atty. Docket No.		Serial No.	
				59036-249736		59036-249736	
				Applicant		Scott et al.	
				Filing Date		September 17, 2001	
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					Applicant Scott et al.			
					Filing Date September 17, 1991		Group 2,468	
					RECEIVED MAR 24 2003 GROUP 3000			
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STATEMENT BY APPLICANT

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Serial No.

091983794

Applicant

Scott et al.

Filing Date

September 17, 2001

Group

2161

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A	6,021,397	Feb. 2000	Jones et al	705	36	
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Name	Document Number	Date	Country	Class	Subclass	Translation Yes/No

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)


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	59036-249736	0915394
	Applicant	
	Scott et al.	
	Filing Date	
	September 17, 2001	2161

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	5,220,500	06/15/93	Baird	705	36	

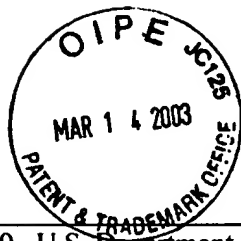
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	0 572 281 A1	12/01/93	Europe	G06F	15/30	Yes
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INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT

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Serial No.

59036-24973

MAR 14 2003  
59036-24973

Applicant

Scott et al.

Filing Date

Group

September 17, 2001

2161

U.S. PATENT DOCUMENTS

Examiner Initial	Document Number	Date	Name	Class	Subclass	Filing Date If Appropriate
AA	5,592,379	1/7/97	Finfrock et al.	705	39	10/06/94
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